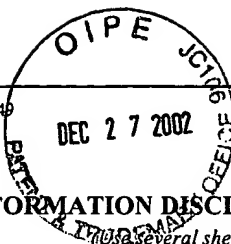
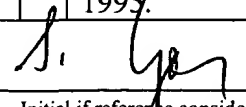


FORM PTO-1449 (REV. 7-80)				U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 210121.544		APPLICATION NO. 09/930,125	
<b>INFORMATION DISCLOSURE STATEMENT</b> <small>(Use several sheets if necessary)</small>						<b>RECEIVED</b> JAN 02 2003 TECH CENTER 1600/2900			
						APPLICANTS Susan Hand-Zimmermann et al.			
						FILING DATE August 14, 2001		GROUP ART UNIT 1635	
<b>U.S. PATENT DOCUMENTS</b>									
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE		
	CA								
	CB								
<b>FOREIGN PATENT DOCUMENTS</b>									
		DOCUMENT NUMBER	DATE	COUNTRY			TRANSLATION YES NO		
	CC								
	CD								
<b>OTHER PRIOR ART</b> <small>(Including Author, Title, Date, Pertinent Pages, Etc.)</small>									
	CE	Ishikawa, T. et al., "Amplification of the <i>c-erbB-2</i> (HER-2/ <i>neu</i> ) Gene in Gastric Cancer Cells. <i>Detection by fluorescence in situ hybridization</i> ," <i>Am. J. Pathol.</i> 151(3): 761-768, September 1997.							
	CF	Kast, W.M. et al., "Cooperation Between Cytotoxic and Helper T Lymphocytes in Protection Against Lethal Sendai Virus Infection. Protection by T cells in MHC-restricted and MHC-regulated; a model for MHC-Disease associations," <i>Journal of Experimental Medicine</i> 164(3): 723-738, September 1986.							
	CG	Keene, J.A. and Forman, J., "Helper Activity Is Required for the in vivo Generation of Cytotoxic T Lymphocytes," <i>Journal of Experimental Medicine</i> 155(3): 768-782, March 1982.							
	CH	Kono, K. et al., "Identification of HER2/ <i>neu</i> -Derived Peptide Epitopes Recognized By Gastric Cancer-Specific Cytotoxic T lymphocytes," <i>International Journal of Cancer</i> 78(2): 202-208, October 5, 1998.							
	CI	Melief, C.J.M., "Tumor Eradication By Adoptive Transfer of Cytotoxic T Lymphocytes," <i>Adv. Cancer Res.</i> 58: 143-175, 1992.							
	CJ	Mumberg, D. et al., "CD4 <sup>+</sup> T cells eliminate MHC class II-negative cancer cells <i>in vivo</i> by indirect effects of IFN- $\gamma$ ," <i>Proc. Natl. Acad. Sci. USA</i> 96: 8633-8638, July 1999.							
	CK	Ossendorp, F. et al., "Specific T Helper Cell Requirements for Optimal Induction of Cytotoxic T Lymphocytes against Major Histocompatibility Complex Class II Negative Tumors," <i>Journal of Experimental Medicine</i> 187(5): 693-702, March 2, 1998.							
	CL	Peoples, G.E. et al., "Breast and ovarian cancer-specific cytotoxic T lymphocytes recognize the same HER2/ <i>neu</i> -derived peptide," <i>Proc. Natl. Acad. Sci. USA</i> 92: 432-436, January 1995.							
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* EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).									

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FORM PTO-1449  
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
210121.544APPLICATION NO.  
09/930,125

## INFORMATION DISCLOSURE STATEMENT

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APPLICANTS  
Susan Hand-Zimmermann et al.FILING DATE  
August 14, 2001GROUP ART UNIT  
1635

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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
BA						
BB						

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
				YES	NO
BC					
BD					

## OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

SE	BE	✓	Disis, M.L. et al., "Existent T-Cell and Antibody Immunity to HER-2/neu Protein in Patients with Breast Cancer," <i>Cancer Research</i> 54(1): 16-20, January 1, 1994.
	BF	✓	Donnelly, J.J et al., "DNA Vaccines," <i>Annual Rev. Immunol.</i> 15: 617-648, 1997.
	BG	✓	Esserman, L.J. et al., "Vaccination with the extracellular domain of p185 <sup>neu</sup> prevents mammary tumor development in <i>neu</i> transgenic mice," <i>Cancer Immunol. Immunother.</i> 47(6): 337-342, 1999.
	BH	✓	Greenberg, P.D., "Adoptive T Cell Therapy of Tumors: Mechanisms Operative in the Recognition and Elimination of Tumor Cells," <i>Adv. Immunol.</i> 49: 281-355, 1991.
	BI	✓	Greenberg, P.D., "Therapy of Disseminated Murine Leukemia with Cyclophosphamide and Immune Lyt-1 <sup>+</sup> , 2 <sup>+</sup> T Cells. Tumor Eradication Does Not Require Participation of Cytotoxic T Cell," <i>Journal of Experimental Medicine</i> 161(5): 1122-1134, May 1985.
	BJ	✓	Greenberg P.D. et al., "Eradication of Disseminated Murine Leukemia By Chemoimmunotherapy with Cyclophosphamide and Adoptively Transferred Immune Syngeneic Lyt-1+2 <sup>+</sup> Lymphocytes," <i>Journal of Experimental Medicine</i> 154(3): 952-963, September 1981.
	BK	✓	Hung, K. et al., "The Central Role of CD4 <sup>+</sup> T Cells in the Antitumor Immune Response," <i>Journal of Experimental Medicine</i> 188(12): 2357-2368, December 21, 1998.
	BL	✓	Ioannides and Whiteside, "T Cell Recognition of Human Tumors: Implications for Molecular Immunotherapy of Cancer," <i>Clinical Immunology and Immunopathology</i> 66(2): 91-106, February 1993.

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DA						
DB						

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO
DC			
DD			

## OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

DE	Pupa, S.M. et al., "Antibody Response against the <i>c-erbB-2</i> Oncoprotein in Breast Carcinoma Patients," <i>Cancer Research</i> 53(24): 5864-5866, December 15, 1993.
DF	Raz, E. et al., "Preferential induction of a Th <sub>1</sub> immune response and inhibition of specific IgE antibody formation by plasmid DNA immunization," <i>Proc. Natl. Acad. Sci. USA</i> 93: 5141-5145, May 1996.
DG	Semba, K. et al., "A <i>v-erbB</i> -related protooncogene, <i>c-erbB-2</i> , is distinct from the <i>c-erbB-1</i> /epidermal growth factor-receptor gene and is amplified in a human salivary gland adenocarcinoma," <i>Proc. Natl. Acad. Sci. USA</i> 82(19): 6497-6501, October 1985.
DH	Slamon, D.J. et al., "Studies of the <i>HER-2/neu</i> Proto-oncogene in Human Breast and Ovarian Cancer," <i>Science</i> 244(4905): 707-712, May 12, 1989.
DI	Tuttle, T.M. et al., "Proliferative and Cytokine Responses to Class II <i>HER-2/neu</i> -associated Peptides in Breast Cancer Patients," <i>Clinical Cancer Research</i> 4(8): 2015-2024, August 1998.
DJ	Wei, W.Z. et al., "Protection Against Mammary Tumor Growth By Vaccination with Full-Length, Modified Human <i>ErbB-2</i> DNA," <i>International Journal of Cancer</i> 81(5): 748-754, May 31, 1999.
DK	Weiner, L.M., "Monoclonal Antibody Therapy of Cancer," <i>Semin. Oncol.</i> 26(5 Suppl 14): 43-51, October 1999.
DL	

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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
AA	5,801,005	09/01/98	Cheever et al.	435	7.24	
AB						

## FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS					TRANSLATION	
				COUNTRY	YES	NO
		DOCUMENT NUMBER	DATE			
SM	AC	WO 93/14781	08/05/93	WIPO		
	AD	WO 99/45954	09/16/99	WIPO		
	AE	WO 99/57981	11/18/99	WIPO		
	AF	WO 00/44899	08/03/00	WIPO		

## OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

SM	AG	Amici, A. et al., "Genetic immunization against <i>neu/erbB2</i> transgenic breast cancer," <i>Cancer Immunol. Immunother.</i> 47(4): 183-190, 1998.
	AH	Chen, Y. et al., "DNA Vaccines Encoding Full-Length or Truncated Neu Induce Protective Immunity against Neu-expressing Mammary Tumors," <i>Cancer Research</i> 58(9): 1965-1971, 1998. Comments in: <i>Cancer Research</i> 59(17): 4471-4472, 1999.
	AI	Clay, T.M. et al., "Efficient Transfer of a Tumor Antigen-Reactive TCR to Human Peripheral Blood Lymphocytes Confers Anti-Tumor Reactivity," <i>Journal of Immunology</i> 163: 507-513, 1999.
	AJ	Cooper, L.J.N. et al., "Transfer of Specificity for Human Immunodeficiency Virus Type 1 into Primary Human T Lymphocytes by Introduction of T-Cell Receptor Genes," <i>Journal of Virology</i> 74(17): 8207-8212, September 2000.
	AK	Coussens, L. et al., "Tyrosine Kinase Receptor with Extensive Homology to EGF Receptor Shares Chromosomal Location with <i>neu</i> Oncogene," <i>Science</i> 230(4730): 1132-1139, December 6, 1985.
	AL	Disis, M.L. et al., "High-Titer HER-2/ <i>neu</i> Protein-Specific Antibody Can Be Detected in Patients With Early-Stage Breast Cancer," <i>Journal of Clinical Oncology</i> 15(11): 3363-3367, November 1997.

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